

# CAPSTOCKS AND SECURITIES (INDIA) PRIVATE LIMITED

## Policy for Handling Good Till Date/Good Till Triggered/ Good Till Cancelled Orders

(Version 1.0 dated November 28, 2024)

(NSE circular No. NSE/INSP/62528 dated June 21, 2024 &  
BSE circular No. 20240622-2 dated June 22, 2024)

## 1. Background

In accordance with the exchanges' circulars NSE/INSP/62528 dated June 21, 2024, and 20240622-2 dated June 22, 2024, concerning the "Policy on Handling of Good Till Cancelled Orders offered by Members to Clients," trading members who offer "Good Till Date Orders", "Good Till Cancelled" (GTC) or "Good Till Triggered" (GTT) orders, or similar types, are required to formulate and implement a policy regarding the handling of these orders.

## 2. Scope

This policy outlines the following:

- The specifics of Good Till Date, Good Till Triggered, Good Till Cancelled or similar types of orders provided by the member, including the validity period.
- The procedure for managing such orders in the event of corporate actions, including potential cancellation, price adjustments, or retention of unexecuted orders.
- The timeline for informing clients about upcoming corporate actions that may affect their unexecuted orders, which should be communicated not later than one day prior to the ex-date of the corporate action.

## 3. Details of Good Till Date/Good Till Cancelled/Good Till Triggered Orders

a. Service Provision: CAPSTOCKS enables clients to place Good Till Date/ Good Till Cancelled/ Good Till Triggered (GTD) orders. Only clients who have accepted the Terms and Conditions (T&C) for GTD/GTT/GTC orders are eligible to place such orders.

b. Order Validity: The period must be within the maximum validity date set by CAPSTOCKS, which can be up to 365 days. If a corporate action such as a bonus, stock split, merger, or consolidation occurs, the order will be cancelled by the system before the ex- date of the corporate action.

c. Eligibility: All existing and new clients eligible to trade in the Equity/Commodity segment and who have accepted the T&C can utilize the GTD/GTT/GTC facility.

d. Product Coverage: GTT orders are available for Equity Segments. GTD and GTC are offered only in the Commodity Segment.

e. Order Requirements: Normal brokerage and applicable charges will apply to all GTD/GTT/GTC orders.

f. Order Re-execution: If a GTD/GTT/GTC order is not fully executed, CAPSTOCKS will treat the partially executed order as a triggered order. These orders will not be re-sent by CAPSTOCKS thereafter. Additionally, there will be no partial execution of orders in the event of insufficient funds.

g. Market Sessions: GTD/GTT/GTC orders can be placed online only, both during market hours and aftermarket hours, but will be sent to the market during normal trading hours on a daily basis. They are not available through CallNTrade.

h. Funds/Margins: Clients must ensure that sufficient funds or margins are available for GTD/GTT/GTC orders.

i. Order Validity Date: The date specified by the client, which must be within the maximum validity date defined by CAPSTOCKS. Orders expiring on a non-trading day will be closed on the last prior trading day. The order will remain in effect until executed or cancelled by the client until the validity date.

#### 4. Handling of GTT/GTD/GTC Orders in Case of Corporate Actions

On the ex-date of corporate actions, all GTD orders will be automatically cancelled. Clients will be notified of any such cancellations.

#### 5. **No Liability for Any Non-Execution or Any Lost Opportunity:**

CAPSTOCKS, at all times, bears no liability towards the client for any reason whatsoever with respect to using the GTT/GTD/GTC Feature; including but not limited to, non-execution of any order using the GTT/GTD/GTC feature / either leg of the order, any opportunity loss for non-execution of such orders / trades, any cancellation or nonplacement of any orders, and any such other claims which may arise from the client with respect to using the GTT/GTD/GTC Order. The responsibility of checking for a pending GTT/GTD/GTC order for a scrip / underlying / contract before placing any new order(s) for the same is on the client.

#### 6. Terms and Conditions

Clients are required to accept the Terms and Conditions governing the GTT/GTD/GTC services in order to be eligible to place such orders.

#### 7. Policy Communication

This policy will be included in the Account Opening Form/Kit under the heading "Policy on Handling of Good Till Cancelled Orders of Client" and will be available on the CAPSTOCKS website.

#### 8. Policy Review

This policy will be reviewed annually to ensure its effectiveness and compliance with relevant regulations.